

UTILITY PATENT APPLICATION TRANSMITTAL

Submit an original and a duplicate for fee processing
(Only for new nonprovisional applications under 37 CFR 1.53(b))

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Attorney Docket No. 03-767

First Named Inventor Ryan J. Highland

Express Mail No. EV333551070US

APPLICATION ELEMENTS

1. ☒ Transmittal Form with Fee
2. ☒ Specification (including claims and abstract) [Total Pages 40]
3. ☒ Drawings [Total Sheets 6]
4. ☒ Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed
 - b. ☐ Copy from prior application
[Note Boxes 5 and 18 below]
 - i. ☐ Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application
5. ☐ Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Code Listing (See 1.96)
 - a. ☐ Microfiche Appendix
 - b. ☐ CD-Rom (in duplicate, with separate transmittal)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy
 - c. ☐ Statement verifying above copies
8. ☒ Small Entity Status
 - ☒ is claimed
 - ☐ Statement filed in prior application; status still proper and desired
 - ☐ is no longer claimed.

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers
10. ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)
 - ☐ PTO-1449 Form
 - ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
16. ☒ A Request for non-publication pursuant to 35 U.S.C. § 122(b)(2)(B)(i)
17. ☒ Other: Patent Data Sheet

18. ☒ This is a CONTINUING APPLICATION. Please note the following:

- a. ☒ This is a ☐ Continuation ☐ Divisional ☒ Continuation-in-part of prior U.S. Patent Application Serial No. 10/260,644.
- b. ☐ Cancel in this application original claims of the prior application before calculating the filing fee. (At least one claim must remain.)
- c. ☐ Amend the specification by inserting before the first line the sentence: This is a ☐ continuation ☐ divisional ☐ continuation-in-part of application Serial No.
- d. ☐ The prior application is assigned of record to

UTILITY PATENT APPLICATION TRANSMITTAL

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APPLICATION FEES

BASIC FEE

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
				\$ 750.00
Total Claims	27 - 20 =	7	x \$18.00	\$ 126.00
Independent Claims	3 - 3 =	0	x \$84.00	\$
<input type="checkbox"/> Multiple Dependent Claims(s) if applicable			+\$280.00	\$
Total of above calculations =				\$ 876.00
Reduction by 50% for filing by small entity =				\$(438.00)
<input checked="" type="checkbox"/> Assignment fee if applicable			+ \$40.00	\$ 40.00
TOTAL =				\$ 478.00

19. ☐ Please charge my Deposit Account No. 13-2490 in the amount of \$20. ☒ A check in the amount of \$478.00 is enclosed.

21. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 13-2490:

- a. ☒ Fees required under 37 CFR 1.16.
 b. ☒ Fees required under 37 CFR 1.17.
 c. ☒ Fees required under 37 CFR 1.18.

22. The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 13-2490 for any fee that may be due in connection with such a request for an extension of time.

23. CERTIFICATE OF MAILING

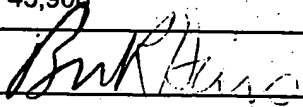
I hereby certify that, under 37 CFR § 1.10, I directed that the correspondence identified above be deposited with the United States Postal Service as "Express Mail Post Office to Addressee," addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on the date indicated below.

24. USPTO CUSTOMER NUMBER

20306

McDonnell Boehnen Hulbert & Berghoff

25. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name	Brian R. Harris
Reg. No.	45,900
Signature	
Date	August 5, 2003

UTIL (R v. 11/21/00)



Receipt
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 03-767)

In re Application of:

Highland, et al.

Serial No.: 10/634,415

Filed: August 5, 2003

For: System and Method for Price-Based Annotations)
in an Electronic Trading Environment)

Examiner: TBA

Art Unit: 3624

TRANSMITTAL LETTER

Office of Initial Patent Examination
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In regard to the above identified application:

1. We are transmitting herewith the attached:
 - a. Request for Corrected Filing Receipt
 - b. Copy of Filing Receipt with Changes Noted Thereon
 - c. Copy of Stamped Return Receipt Postcard Originally Submitted
 - d. Copy of Utility Patent Application Transmittal Originally Submitted
 - e. Copy of Patent Application Data Sheet Originally Submitted
 - f. Copy of Six (6) Sheets of Drawings Originally Submitted
 - g. Return Receipt Postcard
2. With respect to fees:
 - a. No fee is required.
 - b. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Office of Initial Patent Examination, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 7, 2003.

Respectfully submitted,

By :

Brian R. Harris
Reg. No. 45,900

Date: November 7, 2003



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 03-767)

In re Application of:

Highland, et al.

Serial No.: 10/634,415

Filed: August 5, 2003

For: **System and Method for Price-Based Annotations**
in an Electronic Trading Environment

Examiner: TBA

Art Unit: 3624

REQUEST FOR CORRECTED FILING RECEIPT

Office of Initial Patent Examination
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

1. Attached is a copy of the official filing receipt received from the PTO in the above-referenced application for which issuance of a corrected filing is respectfully requested.
2. There is an error with respect to the following data, which is incorrectly entered.

Error In:

Drawings: **5**

Correct Data:

Drawings: **6**

3. The correction is not due to any error by applicant and no fee is due.

Respectfully Submitted,

Brian R. Harris
Reg. No. 45,900

Date: November 7, 2003